Answers to Questions Regarding the Request for Application (RFA) for Safe and Drug Free Schools and Communities Funding
Round 2 of Funding
May 23, 2003

The following represent responses to questions that were submitted to the Department of Alcohol and Drug Programs, Prevention Services Division regarding the RFA for Round 2 of SDFSC funds. Responses were developed to all questions that were submitted according to the instructions outlined in the RFA. The questions that were submitted are included here as they were asked. In some instances minor modifications were made to clarify the source of the question (such as section or page #). In addition, there were several places where errors were noted or clarification was needed. These are:

- As a point of clarification, funding for years 4 and 5 will be at 75% and 50% of the grant, respectively, not a 75% and 50% reduction in the grant.

- The work plan is erroneously identified as Attachment B on page 13. It should be Attachment D as instructed on page 15. Attachment B is the logic model.

Questions are grouped according to general category.

Questions and Answers

TARGET POPULATION

1. Can you define "under-served youth?"

For the purposes of this grant program, "under-served youth" are: "children and youth who are not normally served by State educational agencies or local educational agencies; or populations that need special services or additional resources such as youth in juvenile detention facilities, runaway or homeless children and youth, pregnant and parenting teenagers, and school dropouts." [20 U.S.C Section 7112 (a)(2)]

2. Our project is looking at building onto an existing school-based program by adding family services and an after school component. This helps align our prevention activities with research that support higher dosing. While some of the young people are involved in the juvenile justice system, may have multiple risk factors and/or may be homeless, the project does not aim to specifically target the populations names in the RFP i.e. homeless youth, runaways etc. In our county, youth participating in prevention programs are "minimally served" would this meet your expectation for reaching under-served youth?

In the Governor's portion of the SDFSC grant, preference, in the form of additional points in scoring, is given to programs focusing on these populations. However, this is not a requirement for award. The proposed programs must be based on an assessment

of need and show evidence that they prevent violence and ATOD use and meet the Principles of Effectiveness.

3. We are working with the County ADP to submit an application for Round 2. We are interested in providing science-based curriculum (Botvin's Life Skills) to 3rd, 4th, and 5th grade students as one component of our program design. Are there any age constraints when spending SDFSC funds?

Yes. SDFSC funds are to be used to carry out programs or activities that foster a safe, orderly, and drug-free learning environment in elementary and secondary schools for youth in grades K through 12.

4. Will our proposal be any less competitive for choosing to conduct very early? Prevention services with young children? (*referencing question above*)

No. As long as the youth identified are within K-12 grade and the community needs assessment indicates the need for services for this population, the population meets the SDFSC guidelines.

5. Regarding the Target population: The RFA says that the Statutory Priority is given to programs that serve "at-risk and under-served children and youth who are not normally served by state or local LEA." Should we interpret this to mean that we should not propose a program that serves the entire school population of a high-risk neighborhood school? Must the target population be children/youth outside the traditional educational system?

In the Governor's portion of the SDFSC grant, preference, in the form of additional points in scoring, is given to programs focusing on these populations. However, this is not a requirement for award. The proposed programs must address youth in public and private non-profit elementary and secondary schools, be based on an assessment of need and show evidence that they focus on populations your assessment identifies as being high risk, that they prevent violence and ATOD use, and meet the Principles of Effectiveness.

STRATEGIC PLANNING

6.   In section III of the technical requirements, you make a reference to a currently approved strategic plan guiding your application process, is this in reference to strategic plans that were developed in Round 1, or is this a reference to locally developed strategic plans for substance abuse prevention.

A strategic plan developed in Round 1 or a current approved county prevention strategic plan may be used.

BUDGET SPECIFICS

7. Regarding the two trips to Sacramento for TA/training...how many days do you anticipate these sessions lasting? We need this information to determine the need for hotels, meals etc.

For budgeting purposes, anticipate one eight hour day for TA/training per trip. Depending on how far you have to travel, you may need to budget for a hotel, meals, etc.

8. Regarding indirect costs....the RFP states that indirect costs are allowable for direct service line items only not contractual services...if we contract our program can our contractors claim indirect?

Yes. First-line contractors (those that are directly involved in implementing the program) are subject to the same indirect cost guidelines as the grantee. See Appendix A of the RFA.

9. In reading the RFP it looks like the indirect is limited to 8%. Is this allowable for counties that will contract out their programs? Our usual county indirect cost rate is 5%...is this allowable if we are contracting out our program?

Yes, your usual county indirect cost rate of 5% is allowable. As the county AOD office, if you are substantively involved with the program you are allowed to claim the restricted indirect cost on direct costs. Please see Appendix A of the RFA for more detail on the restricted indirect cost rate.

Also, it is not allowable for counties to contract out their entire program. Pass-through grants are not allowed and would not be eligible for the 8% indirect costs. Consistent with the intent and requirements of SDFSC funds, the grantee must be substantively involved with the program that receives funds through this grant. Substantive involvement can be characterized as "The primary project activities for which grant support is provided and/or a significant portion of the activities to be conducted under the grant."

NEEDS ASSESSMENT

10. The technical proposal does not ask for a community description. Are you looking for information related to economic data, county demographics etc?

The RFA asks for an assessment and description of community need upon which you are focusing your program. If you feel this data supports your stated need for violence and ATOD prevention services, it would be appropriate to include. Each section of the technical proposal is requesting specific information. Your response may include economic data or demographics if it is applicable to your response to the question(s).

FORMATTING

11. May we use color printing for headings in the proposal narrative section?

Yes. The RFA does not state color printing cannot be used for headings. However, you should ensure that any color or graphics that are used in your application are legible after photocopying.

12. Can the citations/source of the science or research items be single spaced with double spacing in between each citation?

Spacing and font exceptions are limited to the organization chart, logic model, evaluation plan, work plan, budget and attachments. Citations within the text of the Technical Application must be double-spaced in Times/Times New Roman 12-point font; however, foot and end notes can be single-spaced.

PROGRAM SUSTAINABILITY

13. At the end of the three year project period, is there an application process to receive continuation funds? Can you describe that process?

There will not be a formal application process for Years 4 and 5. Those grantees who can demonstrate progress towards achieving measurable results, who comply with the POE, and who implement the goals and objectives in the application and subsequent work plan will continue to receive funding in years 4 and 5 at 75% and 50% of their grant amount, respectively.   All funding is contingent on the availability of federal funds.

SUBCONTRACTING

14. On Page 16 of the RFA, there is a statement: Because subcontracts with sub recipients and vendors must be awarded competitively, the applicant is not expected to provide the name of the sub recipient or vendor in the budgets…Since a competitive award process will be difficult to carry out before the deadline and a sub recipient is participating in our planning process, can that sub recipient be named in the application before they go through a competitive award process? And, does it strengthen or harm our proposal to include the potential sub recipient?

Sub recipients must be awarded competitively. Since the competitive award process has not been undertaken, there is no sub recipient. The name of the sub recipient should not be provided in the application. You may list the function or activity that you plan for the sub recipient.

15. If an applicant wishes to pay an annual stipend of $500 to a school advisor to a funded program, is this considered a subcontract or sub recipient?

A stipend is considered neither a subcontract nor sub recipient; a stipend should be included in the Other Direct Costs category of a budget. On page 39, section (c), Other Direct Costs are defined as "all other direct expenditures" that are not personnel, travel expense, indirect, or contractual services costs. "They include, but are not limited to, office supplies, printing, computers, public education and awareness materials, meeting room rental, participation support costs, stipends, etc.

16. Regarding the Grant Project Budget, you ask for separate budgets for the ATOD office and each sub recipient. Since we need to competitively bid out contracts, how much detail can we provide to the contract budgets since we theoretically have not selected the contractors?

The sub recipient budgets are estimates of anticipated project expenses. They should be well thought-out and should be the basis for budgeting your request for proposal.

17. On page 4 of the RFP you ask that Counties who plan to subcontract program delivery demonstrate involvement in the implementation of the grant program, are you looking for County staff time allocated to this project?

The county alcohol and drug program office must demonstrate substantive involvement in the implementation of the grant. This would include, but is not limited to, county staff time and activities. See page 6 of the RFA for additional information about substantive involvement on the part of the County AOD office.

18. I would like to submit a proposal which supports enhanced services/programs through our Friday Night Live program operated through our schools. Our school district just became a +IBg-private entity+IBk- and not a county office. Would I still have to go through a competitive bid process as outlined in Sub-contracting exhibit??

Question is unclear. Not sure what "+IBg-private entity+IBk" is. All subcontracts for this grant must be awarded competitively.

19. Our County Substance Abuse Division has opted to subcontract some of the SDFSC implementation services to a non-profit organization. Can the subcontractor request an indirect rate to be applied to their portion of the budget only? If yes, what is the formula for this allowable expense?

Yes. Please see the response to question # 16. First line contractors are subject to the same restricted indirect cost rate that is detailed in Appendix A of the RFA. Please note that subcontracting is allowed under this RFA, but the County AOD Office is required to be substantively involved in the program. See page 6 of the RFA for acceptable services and activities for the county AOD office that is not directly involved in implementing the program.

20. Can County AOD offices subcontract with other agencies, such as County Offices of Education, for the direct services and program implementation of the grant?

Yes. The County AOD office may subcontract with other agencies for direct services and program implementation including the county office of education, provided that that office is the successful bidder resulting from the competitive process. Please note that subcontracting with other agencies does not preclude the involvement of the County AOD office in the program, and in fact, the County AOD office is required to be substantively involved as further detailed on page 6 of the RFA.

21. Do direct service subcontracts, such as County Offices of Education, or local evaluation services need to be competitively bid (Appendix B, page 31 of RFA)? If so, how many bids must be obtained?

Yes. The County Alcohol and Drug Office must award all subcontracts competitively based on your county contracting procedures, provided these procedures include all of the requirements of EDGAR 80.36 (b) through (i).

22. If direct service costs are incurred by the applicant and subcontracts, may each claim the 8% indirect rate?

Yes. For the restricted indirect cost guidelines, which apply to the grantee and the subcontractor(s), see Appendix A of the RFA.

PROGRAM SPECIFICS OR RFA INSTRUCTION CLARIFICATIONS

23. What kinds of programs are being emphasized and focused on in the RFA? The language in the No Child Left Behind Act and the RFA frequently mentions prevention and early intervention, but the cover letter from the California Department of Education and the Priorities and Selection Criteria section, specifically the Statutory Priority paragraph, refer to the importance of target populations of children and youth who are outside of mainstream school systems and in the criminal justice system, runaways, and homeless youth. Typically, these populations have already been involved in substance abuse and violence, and prevention and early intervention strategies may not be the most appropriate, unless the intent of the RFA is to focus on further prevention strategies.

All SDFSC funds are to be used to fund programs that prevent violence in and around schools; that prevent the illegal use of alcohol, tobacco, and drugs; and that meet USDOE's Principles of Effectiveness.

24. Please clarify on Page 8 "Special consideration will be given to grantees that pursue a comprehensive approach to drug and violence prevention that includes providing and incorporating mental health approaches related to drug and violence prevention, in their programs? What specifically are you looking for with this?

This language is taken directly from 20 U.S.C 7112 (a) (3) (the codification into law of the No Child Left Behind Act of 2001), and reflects the specific requirements for grantees that receive funds under the Governor's portion. For California, the Governor's portion is managed by the Department of Alcohol and Drug Programs and applies to the funding for grants awarded through this RFA.   The inclusion of mental health approaches in a comprehensive alcohol, drug and violence prevention program acknowledges the potential need for such services that involve identification and referral for mental health issues. Applicants that plan to provide such services will be awarded additional points if their response to this question adequately and accurately describes such a program.

25. Can funding be used for universal prevention (whole school approach) strategies such as conflict resolution and/or violence prevention curricula? The RFA seems to focus on special populations which would imply "indicated" and "selected" approaches.

The funding for programs under this grant program must be consistent with SDFSC requirements and regulations. Science-based conflict resolution and violence prevention curricula are among many of the acceptable strategies for services under this grant program. If these approaches are indicated for your needs and populations as appropriate science based approaches and also meet the Principles of Effectiveness, then they would be acceptable strategies.

26. Section II-A. Community Assessments versus Section II-B. Risk/Protective Factors: Please explain how you differentiate between Section II A and Section II B.

In assessing the community, you should be looking at the prevalence of violence and extent of illegal drug use and conditions that provide a direct correlation to the behavior. In analyzing the risk and protective factors you are reviewing data of the conditions that positively and negatively influence the violence and ATOD use.

27. Section IIb: Risk/Protective Factors: The RFA states that our program "shall be based on an analysis of…the prevalence of risk factors…protective factors…or other variables in schools and communities IN THE STATE." Is this correct, or should we be analyzing these factors for our own community?

The RFA includes the Principles of Effectiveness as written in the law. Compliance with the POEs applies not only to grantees that are funded under this RFA, but also to the entire federal grant. ADP must comply with all SDFSC requirements, including the POEs, for all programs funded under SDFSC. Your response to this question should focus on how this POE applies to your local needs.

28.   On Page 11 of the RFA in Section III, part B, can we use this space to list other programs in my county that are applying for Round 2 SDFSC funds (their program complements ours)? This would be instead of listing programs funded by Round 1 SDFSC funds.

No, please list existing prevention programs. The intent is to demonstrate how the proposed program will complement existing prevention programs in your county.

29. Is Section IIIB – Existing Programs applicable only to counties that have already received SDFSC funding? Numbers 2 and 3 under this heading suggest that we should describe related efforts that have other funding sources. Is this correct?

All applicants should respond to Section III, Part B (2) and (3). Answer part B and B (1) if your county has received funding in round 1.

30. Please explain these instructions For Section IV, Logic Model, A: Should this subsection include any explanatory narrative, or just reference the Logic Model which is included in Attachment B?

You may include a reference to the attachment or you may include the logic model graphic in the body of your application at this point. Since there is a page limit on the application narrative we have given you the option to attach the graphic.

31. Please explain these instructions for Section IV, Logic Model, B: Are the goals and objectives to be explained here, and then listed in the following section?

This is the narrative that explains the logic model graphic. The project goals and objectives drive the logic of the model. You will need to make clear what the goals of the project are. You will elaborate on the goals and how you will accomplish them in following sections.

32. For Section IV, Performance Measures, A: Is every measure expected to incorporate the program goal statement as stated in the instructions and shown in the example?

Yes. The example provided in the RFA for Question IV A contains one goal and one performance measure. You may structure your response in whatever form best describes your goal(s) and performance measures. You may have multiple goals and multiple performance measures, or you may have one goal with multiple measures, but there must be a direct relationship between each goal and its performance measure(s).

33. Regarding Section IV Performance Measures, B: Is this referring to all schools in the community, or only to schools in which program strategies are implemented?

Section IV, Performance Measures, Part B is referring to schools that will be impacted by proposed program strategies.

34. Section IV B, Evaluation: the instructions state that the evaluation should include a description of data collection measures "for each objective that will be used in

evaluating the program." Does this mean that the evaluation does NOT have to include every program objective?

Your evaluation plan should include all major outcome objectives that will be used to evaluate the effectiveness of your program in meeting its goals.

35. Section V-B, Evaluation: Does this section require a narrative, or does this information go only in the Evaluation Plan included as Attachment C?

Attachment C is provided as a guide to help you in developing your evaluation plan and is not meant to contain extensive narrative. If you feel that you can respond to the question by completing the attachment, please indicate so in your written response in the technical proposal for this number.

36. Does this section (VI-A – Workplan) require any narrative or should we only reference the work plan that is included as an attachment?

You may include a reference to the attachment or you may include the workplan in the body of your application at this point. However, you must follow the workplan format provided. Since there is a page limit on the application narrative we have given you the option to attach the workplan.

It is at the applicant's discretion to decide if submitting attachments provides sufficient information to accurately and thoroughly respond to the question.

37. Does the work plan go in Attachment B (as instructed on page 13) or Attachment D (as instructed on page 15)?

The workplan should be included as Attachment D. Attachment B is the logic model.

38. The instructions state that we should "include the data collection tools and measures for each objective." Do you want the actual tools to be attached, or are you only asking for the tools and measures to be described in the evaluation plan as instructed on page 12 (Section V-B)?

Please describe the tools and measures to allow for sufficient understanding and accuracy. You do not need to attach actual tools or instruments.

OTHER QUESTIONS

39. What is the name of the Program Officer for this grant?

This question is unclear. The title "Program Officer" is not used the RFA and not associated with this grant.

40. Where on your website are answers to these questions posted?

Please see http://www.adp.ca.gov/Prevention/sdfsc.shtml

41. Is there any in-kind or cash match requirement?

No, a match is not required. However, there will be reduced funding in years 4 and 5.

42. Is it possible to see successful applications or summaries of projects that received SDFSC funding last year?

Applications from round 1 are available for on-site viewing. Appointments must be made ahead of time to arrange for application review by contacting (916) 324-4398. However, due to the differences in the two RFAs, reviewing these documents will be of little benefit.